

DECLARATION Utility Application

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled CONTROLLED FUSION IN A FIELD REVERSED CONFIGURATION AND DIRECT ENERGY CONVERSION, the specification of which

(Check One)

☐
☒

is attached hereto OR
was filed on February 14, 2002 as United States Application Serial No. or PCT International Application No. 10/077,661 and was amended on (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Date of Filing	Priority Claimed	
			Yes	No

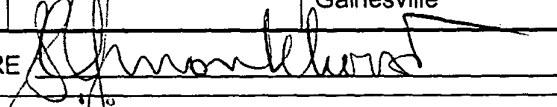
I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date
60/277,374	March 19, 2001
60/297,086	June 8, 2001

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application Number	PCT Parent Number	Parent Filing Date	Status-Patented, Pending or Abandoned
09/902,934		July 10, 2001	Pending
08/953,130		October 17, 1997	Abandoned
09/915,965		July 25, 2001	Pending
09/878,046		June 8, 2001	Abandoned

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

201	FULL NAME OF INVENTOR	FIRST Name Hendrik	MIDDLE Initial J.	LAST Name Monkhorst	
	RESIDENCE & CITIZENSHIP	City Gainesville	State or Foreign Country Florida	Country of Citizenship USA	
	POST OFFICE ADDRESS	5502 SW 4 th Place	City Gainesville	State or Country Florida	Zip Code 32607-2023
INVENTOR'S SIGNATURE 			DATE 5/30/02		

202	FULL NAME OF INVENTOR	FIRST Name Norman	MIDDLE Initial	LAST Name Rostoker	
	RESIDENCE & CITIZENSHIP	City Irvine	State or Foreign Country California	Country of Citizenship U.S.A.	
	POST OFFICE ADDRESS	10 Perkins Court	City Irvine	State or Country California	Zip Code 92612
INVENTOR'S SIGNATURE _____			DATE _____		

203	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initial	LAST Name	
	RESIDENCE & CITIZENSHIP	City	State or Foreign Country	Country of Citizenship	
	POST OFFICE ADDRESS		City	State or Country	Zip Code
INVENTOR'S SIGNATURE _____			DATE _____		

204	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initial	LAST Name	
	RESIDENCE & CITIZENSHIP	City	State or Foreign Country	Country of Citizenship	
	POST OFFICE ADDRESS		City	State or Country	Zip Code
INVENTOR'S SIGNATURE _____			DATE _____		

205	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initial	LAST Name	
	RESIDENCE & CITIZENSHIP	City	State or Foreign Country	Country of Citizenship	
	POST OFFICE ADDRESS		City	State or Country	Zip Code
INVENTOR'S SIGNATURE _____			DATE _____		

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201	FULL NAME OF INVENTOR	FIRST Name Hendrik	MIDDLE Initial J.	LAST Name Monkhorst	
	RESIDENCE & CITIZENSHIP	City Gainesville	State or Foreign Country Florida	Country of Citizenship USA	
	POST OFFICE ADDRESS	5502 SW 4 th Place	City Gainesville	State or Country Florida	Zip Code 32607-2023
INVENTOR'S SIGNATURE _____			DATE _____		

202	FULL NAME OF INVENTOR	FIRST Name Norman	MIDDLE Initial	LAST Name Rostoker	
	RESIDENCE & CITIZENSHIP	City Irvine	State or Foreign Country California	Country of Citizenship U.S.A.	
	POST OFFICE ADDRESS	10 Perkins Court	City Irvine	State or Country California	Zip Code 92612
INVENTOR'S SIGNATURE <u>Norman Rostoker</u>			DATE <u>9/29/02</u>		

203	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initial	LAST Name	
	RESIDENCE & CITIZENSHIP	City	State or Foreign Country	Country of Citizenship	
	POST OFFICE ADDRESS		City	State or Country	Zip Code
INVENTOR'S SIGNATURE _____			DATE _____		

204	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initial	LAST Name	
	RESIDENCE & CITIZENSHIP	City	State or Foreign Country	Country of Citizenship	
	POST OFFICE ADDRESS		City	State or Country	Zip Code
INVENTOR'S SIGNATURE _____			DATE _____		

205	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initial	LAST Name	
	RESIDENCE & CITIZENSHIP	City	State or Foreign Country	Country of Citizenship	
	POST OFFICE ADDRESS		City	State or Country	Zip Code
INVENTOR'S SIGNATURE _____			DATE _____		

**POWER OF ATTORNEY
By Assignee**

The Regents of the University of California, assignee(s) of the application for United States Letters Patent for an improvement in

CONTROLLED FUSION IN A FIELD REVERSED CONFIGURATION
AND DIRECT ENERGY CONVERSION

by Hendrik J. Monkhorst and Norman Rostoker

the specification of which:

- ☐ is filed herewith, OR
☒ was filed on February 14, 2002, having U.S. Patent Application Serial No. 10/077,661

does hereby appoint as my attorneys and/or agents, with full power of substitution and revocation, to prosecute this application and transact all business in the United States Patent and Trademark Office, and in countries other than the United States, and to do all things necessary or appropriate therefor before any competent International Authorities in connection with any international patent application(s) corresponding to the above-identified application, all of the registered practitioners identified by Customer Number 22249:



22249

PATENT TRADEMARK OFFICE

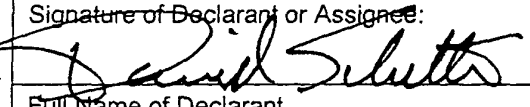
LYON & LYON LLP
Suite 4700
633 W. Fifth Street
Los Angeles, CA 90071
(213) 489-1600

Please send all inquiries to Kenneth S. Roberts, at the above Customer Number.

I, the undersigned, declare that I have reviewed copies of the documentary evidence establishing chain of title to the patent application identified above from the inventor(s) to the assignee(s), which:

- ☒ is filed for recordation herewith; or
☐ was recorded at Reel _____, Frame _____; or
☐ has been sent for recordation under separate cover, copy attached herewith.

To the best of the undersigned's knowledge and belief, title is in the assignee(s) identified above. Furthermore, the undersigned is empowered to sign this document on behalf of the assignee(s).

Full Name of Assignee: The Regents of the University of California	
Post Office Address: 1111 Franklin Street, 5th Floor, Oakland, California 94607	
Signature of Declarant or Assignee: 	Date: 5-30-02
Full Name of Declarant	
If Other Than Assignee: David G. Schetter	
Title of Declarant: Assistant Vice Chancellor, Research and Technology Alliance	
Address of Declarant: Office of Technology Alliances, 380 University Tower, Irvine, California 92697	

**POWER OF ATTORNEY
By Assignee**

University of Florida Research Foundation, assignee(s) of the application for United States Letters Patent for an improvement in

**CONTROLLED FUSION IN A FIELD REVERSED CONFIGURATION
AND DIRECT ENERGY CONVERSION**

by Hendrik J. Monkhorst and Norman Rostoker

the specification of which:

- ☐ is filed herewith, OR
☒ was filed on February 14, 2002, having U.S. Patent Application Serial No. 10/077,661 does hereby appoint as my attorneys and/or agents, with full power of substitution and revocation, to prosecute this application and transact all business in the United States Patent and Trademark Office, and in countries other than the United States, and to do all things necessary or appropriate therefor before any competent International Authorities in connection with any international patent application(s) corresponding to the above-identified application; all of the registered practitioners identified by Customer Number 22249:



22249

PATENT TRADEMARK OFFICE

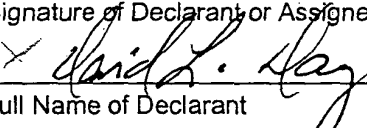
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633 W. Fifth Street
Los Angeles, CA 90071
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☐ was recorded at Reel _____, Frame _____; or
☐ has been sent for recordation under separate cover, copy attached herewith.

To the best of the undersigned's knowledge and belief, title is in the assignee(s) identified above. Furthermore, the undersigned is empowered to sign this document on behalf of the assignee(s).

Full Name of Assignee: University of Florida Research Foundation	
Post Office Address: 223 Grinter Hall, P.O. Box 115500	
Signature of Declarant or Assignee: 	Date: 5-31-02
Full Name of Declarant If Other Than Assignee: David L. Day	
Title of Declarant: Director, Office of Technology Licensing	
Address of Declarant: University of Florida, Office of Technology Licensing, 223 Grinter Hall, P.O. Box 115500, Gainesville, Florida 32611-5500	



UNITED STATES
PATENT AND
TRADEMARK OFFICE

USP

271/238

AUGUST 20, 2002

PTAS

Under Secretary of Commerce For Intellectual Property and
Director of the United States Patent and Trademark Office
Washington, DC 20231
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LYON & LYON LLP
KENNETH S. ROBERTS
633 WEST FIFTH STREET
SUITE 4700
LOS ANGELES, CA 90071-2066



102130733A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 06/13/2002

REEL/FRAME: 012997/0533
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

ROSTOKER, NORMAN

DOC DATE: 05/29/2002

ASSIGNEE:

REGENTS OF THE UNIVERSITY OF
CALIFORNIA, THE
1111 FRANKLIN STREET
12TH FLOOR
OAKLAND, CALIFORNIA 94607-5200

SERIAL NUMBER: 10077661
PATENT NUMBER:

FILING DATE: 02/14/2002
ISSUE DATE:

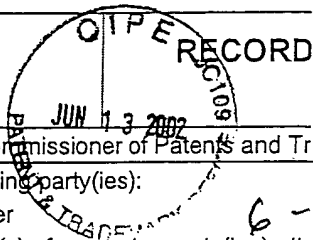
VIOLET MCCOY, EXAMINER
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AUG 28 2002

U.S. PROSECUTION

FORM PTO-1593
1-31-92



06-21-2002



U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

Docket No. 271/238

To the Honorable Commissioner of Patents and Trademarks

102130733

al documents or copy thereof.

1. Name of conveying party(ies):

Norman Rostoker

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

Execution Date: May 29, 2002

2. Name and address of receiving party:

Name: The Regents of the University of California

Internal Address:

City: State: Zip:

Street Address: 1111 Franklin Street, 12th Floor

City: Oakland State: California Zip: 94607-5200

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s): 10/077,661

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Kenneth S. Roberts

Internal Address: LYON & LYON LLP

633 West Fifth Street, Suite 4700

Los Angeles, CA 90071-2066

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41):

\$ 40.00

☐ Enclosed

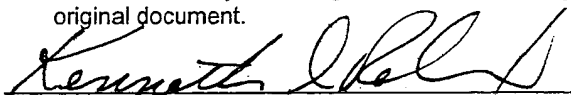
☒ Charge this Deposit Account if any additional fee is required

8. Deposit Account Number: 12-2475

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9. Statement and signature:

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.


Kenneth S. Roberts, Reg No. 38,283

Date: June 4, 2002

Total number of pages including cover sheet: 3

OMB No. 0651-0011 (exp. 4/94)

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Director — U.S. Patent and Trademark Office

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Washington, D.C. 20231

6/20/2002 6TOM11 00000131 122475 10077661

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ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR, Norman Rostoker, a citizen of the United States, residing at 10 Perkins Court, Irvine, California 92612, hereby sell, assign, transfer and set over unto ASSIGNEE, The Regents of the University of California, a California corporation, having its statewide administrative offices located at 1111 Franklin Street, Oakland, California 94607-5200, its successors, assigns and legal representatives, all of their right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

CONTROLLED FUSION IN A FIELD REVERSED CONFIGURATION AND DIRECT
ENERGY CONVERSION

and which is found in U.S. application Serial No.10/077,661, filed on February 14, 2002; and to all Letters Patent or application or similar legal protection, not only in the United States and its territorial possessions, but in all countries foreign thereto, to be obtained for said invention by said application, and to any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a), reexamination, renewal, substitute or reissue thereof or any legal equivalent thereof in the United States or a foreign country for the full term or terms for which the same may be granted, including all priority rights under the International Convention.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this Agreement;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNORS and will testify as to the same in any interference or litigation related thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents in the United States or in any foreign country, which may be necessary or desirable to carry out the purposes thereof.

WITNESS my hand at FOOTHILL RANCH

CALIFORNIA, this 29 day of MAY, 2002.

Norm Rostoker
Norman Rostoker



UNITED STATES
PATENT AND
TRADEMARK OFFICE

WEL

271/238

AUGUST 20, 2002

PTAS

Under Secretary of Commerce For Intellectual Property and
Director of the United States Patent and Trademark Office
Washington, DC 20231
www.uspto.gov

LYON & LYON LLP
KENNETH S. ROBERTS
633 WEST FIFTH STREET, SUITE 4700
LOS ANGELES, C.A. 90071-2066



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UNITED STATES PATENT AND TRADEMARK OFFICE
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RECORDATION DATE: 06/13/2002

REEL/FRAME: 012997/0388
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

MONKHORST, HENDRIK J.

DOC DATE: 05/30/2002

ASSIGNEE:

UNIVERSITY OF FLORIDA RESEARCH
FOUNDATION
223 GRINTER HALL
GAINESVILLE, FLORIDA 32611

SERIAL NUMBER: 10077661
PATENT NUMBER:

FILING DATE: 02/14/2002
ISSUE DATE:

TARA WASHINGTON, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

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AUG 28 2002

U.S. PROSECUTION

FORM PTO-1595
1-31-92

Docket No. 271/238

To the Honorable Commissioner of Patents and Trade.

1. Name of conveying party(ies):

Hendrik J. Monkhorst

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

Execution Date: May 30, 2002

2. Name and address of receiving party:

Name: University of Florida Research Foundation

Internal Address:

City: State: Zip:

Street Address: 223 Grinter Hall

City: Gainesville State: Florida Zip: 32611

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s): 10/077,661

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Kenneth S. Roberts

Internal Address: LYON & LYON LLP

633 West Fifth Street, Suite 4700

Los Angeles, CA 90071-2066

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$ 40.00

☐ Enclosed

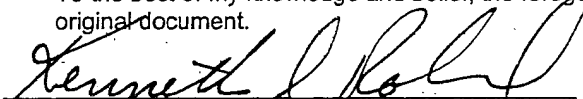
☒ Charge this Deposit Account if any additional fee is required

8. Deposit Account Number: 12-2475

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Kenneth S. Roberts, Reg No. 38,283

Date: June 4, 2002

Total number of pages including cover sheet: 3

OMB No. 0651-0011 (exp. 4/94)

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Director — U.S. Patent and Trademark Office

Box Assignments

Washington, D.C. 20231

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ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR, Hendrik J. Monkhorst, a citizen of the United States, residing at 5502 SW 4th Place, Gainesville, Florida 32607-2023, hereby sell, assign, transfer and set over unto ASSIGNEE, University of Florida Research Foundation, with its principal place of business at 223 Grinter Hall, Gainesville, Florida 32611, its successors, assigns and legal representatives, all of their right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

CONTROLLED FUSION IN A FIELD REVERSED CONFIGURATION AND DIRECT
ENERGY CONVERSION

and which is found in U.S. application Serial No.10/077,661, filed on February 14, 2002; and to all Letters Patent or application or similar legal protection, not only in the United States and its territorial possessions, but in all countries foreign thereto, to be obtained for said invention by said application, and to any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a), reexamination, renewal, substitute or reissue thereof or any legal equivalent thereof in the United States or a foreign country for the full term or terms for which the same may be granted, including all priority rights under the International Convention.

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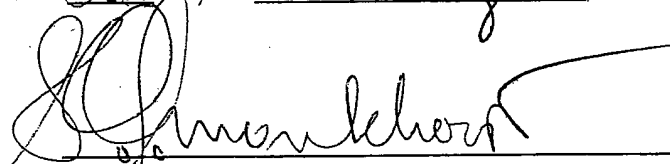
WITNESS my hand at

Gainesville, Florida

_____, this 30th day of

May

_____, 2002.



Hendrik J. Monkhorst

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:)	
)	Group Art Unit:
Monkhorst et al.)	
)	Examiner: To be assigned
Serial No.: 10/077,661)	
)	
Filed: February 14, 2002)	
)	
For: CONTROLLED FUSION IN A FIELD)	
REVERSED CONFIGURATION AND)	
DIRECT ENERGY CONVERSION)	

REVOCATION AND POWER OF ATTORNEY AND

CERTIFICATE UNDER 37 C.F.R. 3.73(b)

Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

The assignee of record of the entire interest of the above-identified application hereby revokes all previous appointments of power of attorney previously given and hereby appoints the registered practitioners at Customer No. 34313:



34313

PATENT TRADEMARK OFFICE

Orrick, Herrington & Sutcliffe, LLP
4 Park Plaza, Suite 1600
Irvine, California 92614-2558
Tel.: (949) 567-6700

as its attorneys/agents with full power of substitution and revocation to prosecute this application, to transact all business in the Patent and Trademark Office, in connection therewith, and to receive any Letters Patent.

Please send all correspondence to the attention of Kenneth S. Roberts, at the above Customer Number and address, and direct all telephone calls to (949) 567-6700.

CERTIFICATE UNDER 37 C.F.R. 3.73(b)

University of Florida Research Foundation certifies that it is the assignee of less than the entire right, title, and interest in the patent(s)/application(s) identified above by virtue of either:

- A. X An assignment from the inventor(s) of the patent/application identified above. The assignment was recorded in the U.S. Patent and Trademark Office on June 13, 2002 at Reel 012997, Frame 0388.
- B. A chain of title from the inventor(s) of the patent/application identified above, to the current assignee as shown below:
1. An assignment of the application from the inventors to has been recorded in the Patent and Trademark Office under Reel , Frames .
 2. An assignment from of the application from to has been recorded in the Patent and Trademark Office under Reel , Frames .

 Copies of assignments or other documents in the chain of title are attached as indicated.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein are of my own knowledge and are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application of any patent issuing thereon.

Dated: 12-10-02 , 2002

By:

David L. Day

Director, Office of Technology Licensing

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:)	
)	Group Art Unit:
Monkhorst et al.)	
)	Examiner: To be assigned
Serial No.: 10/077,661)	
)	
Filed: February 14, 2002)	
)	
For: CONTROLLED FUSION IN A FIELD)	
REVERSED CONFIGURATION AND)	
DIRECT ENERGY CONVERSION)	

REVOCATION AND POWER OF ATTORNEY AND

CERTIFICATE UNDER 37 C.F.R. 3.73(b)

Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

The assignee of record of the entire interest of the above-identified application hereby revokes all previous appointments of power of attorney previously given and hereby appoints the registered practitioners at Customer No. 34313:



34313

PATENT TRADEMARK OFFICE

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as its attorneys/agents with full power of substitution and revocation to prosecute this application, to transact all business in the Patent and Trademark Office, in connection therewith, and to receive any Letters Patent.

Please send all correspondence to the attention of Kenneth S. Roberts, at the above Customer Number and address, and direct all telephone calls to (949) 567-6700.

